

# Combined Assurance Status Report

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## What we do best...

**Innovative assurance services**

Specialists at internal audit

**Comprehensive risk management**

Experts in countering fraud

## ...and what sets us apart

**Unrivalled best value to our customers**

Existing strong regional public sector partnership

**Auditors with the knowledge and expertise to get the job done**

Already working extensively with the not-for-profit and third sector



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# Combined Assurance Status Report

## Introduction

This is the seventh combined assurance report for Finance & Public Protection within the Council.

By grouping the different sources of assurance in a single model we provide the basis for Senior Management and Audit Committees to gain a better understanding of their organisations assurance status and needs.

We do this by coordinating assurance arrangements – providing some structure – this is our Assurance Map.

We have well established Assurance Maps that help us to focus our work plans on the make or break risks that affect the successful delivery of services and strategic objectives. The Maps also recognise the importance of critical business systems that support successful delivery and ‘protect the business’ – the due diligence activities.

The Maps give an overview of assurance provided across the whole organisation – not just those from Internal Audit – making it possible to identify where assurances are present, their source, and where there are potential assurance ‘unknowns or gaps’.

The Maps are an invaluable tool for senior managers, providing a snapshot of assurance at any point of time. This report explores those assurances in more detail.

We gathered and analysed assurance information in a control environment that:

- takes what we have been told on trust, and
- encourages accountability with those responsible for managing the service.

## Scope

We gathered information on our:

- **Critical systems** – those areas identified by senior management as having a significant impact on the successful delivery of our priorities or whose failure could result in significant damage to our reputation, financial loss or impact on people.
- **Due diligence activities** – those that support the running of the Council and ensure compliance with policies.
- **Key risks** – found on our strategic risk register, operational risk registers or associated with major new business strategy / change.
- **Key projects** – supporting corporate priorities / activities.



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- **Key partnerships** – partnerships that play a key role in successful delivery of services

Our approach includes a critical review or assessment on the level of confidence the Board can have on its service delivery arrangements, management of risks, operation of controls and performance.

## Methodology

To ensure our combined assurance model shows assurances across the entire Council, not just those from Internal Audit, we leverage assurance information from your 'business as usual' operations. Using the '3 lines of assurance' concept:



We did this by:

- Speaking to senior and operational managers who have the day to day responsibility for managing and controlling their service activities.
- Working with corporate functions and using other third party inspections to provide information on performance, successful delivery and organisational learning.
- Using the outcome of Internal Audit work to provide independent insight and assurance opinions.
- Considering other information and business intelligence that feed into and has potential to impact on assurance.

We used a Red (low), Amber (medium) and Green (high) rating to help us assess the level of assurance confidence in place.



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The overall assurance opinion is based on the assessment and judgement of senior management. Internal audit has helped co-ordinate these and provided some challenge **but** as accountability rests with the Senior Manager we used their overall assurance opinion.



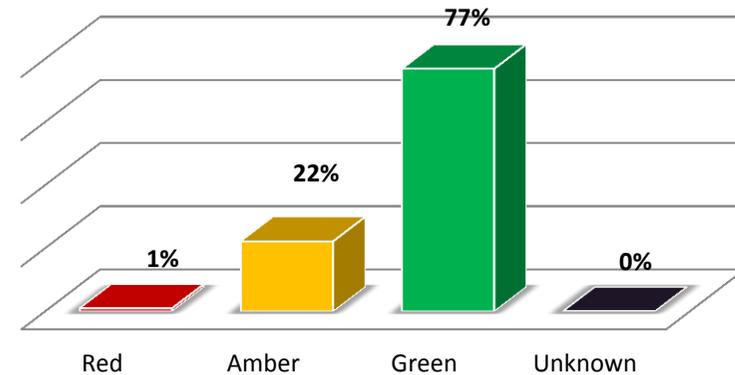
# Combined Assurance Status Report

## Key Messages

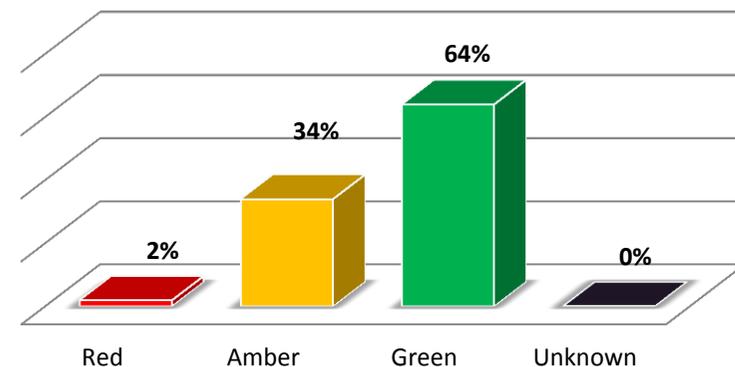
The overall Combined Assurance status for the Directorate reflects the judgements of senior service managers on local control / risk management arrangements and the independent assessment of those arrangements by Internal Audit or through external inspection, such as External Audit, Formal Inspections and Peer reviews. It is pleasing to note that further, good improvements have been made during the last year with 77% of areas now classified as a high level of assurance and 34% as medium. Further work will be done to improve the medium areas of assessment, although it should be noted that the continued reduction in the Council's budgets in future years may mean that a medium rating may be a more realistic target in some areas, particularly those assessed as lower risk to the Council.

Lincolnshire Fire & Rescue received its first formal inspection by Her Majesty's Inspectorate during the summer of 2018. Whilst the inspection report received in December 2018 was generally good around Effectiveness and Efficiency, there were some areas identified for improvement around People and Culture and these will be addressed through an action plan over the next few months.

### Overall Assurance Status 2018/19



### Overall Assurance Status 2017/18





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Only 1% of activity remains at a low assurance level at the time of preparation of this report. This relates to the continued uncertainties around Brexit and, in particular, those around the potential impact on Pension Fund investments and returns. Although work is being done at a national level that work is still to be completed. Separately, a local, multi-agency assessment of the maintenance of critical services following Brexit is being undertaken by the Lincolnshire Resilience Forum, in line with a national directive from the Government.

Progress on a number of projects supporting service development is reported under the Key Projects section of the report. Whilst the majority of those have been assessed as green, a few remain at amber until further progress is made on them. Those projects will be managed and monitored until completed.

Key partnerships are generally working well, with no areas of concern. A new Senior Coroner for Lincolnshire means establishing new relationships and the opportunity for improved ways of working with both EMAS and the Police on the Coroners services.

## Suggested next steps.....

The report also highlights the ongoing strategic risk around future funding levels / budgets for the Council and the plan to undertake a further, comprehensive budget review in 2019 to cover the period beyond March 2020. This will be co-terminus with a number of significant, national reviews materially affecting local government funding.

Pete Moore  
Executive Director of Finance & Public Protection

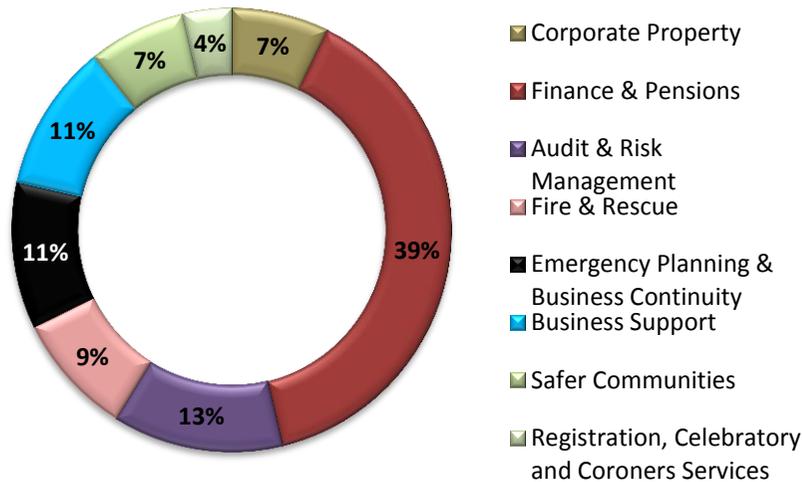
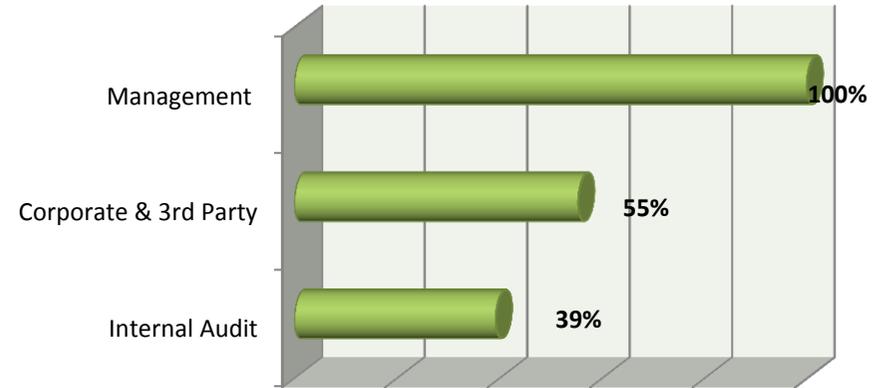


## Critical Systems

The sections below show the levels of assurance within the directorate and an improving situation compared to the last year.

More than half of the critical activities identified continue to be supported by corporate or third party assurance and in many cases this is provided through regular reports submitted to the Executive or the Council's Committees or external reporting and audit requirements. Key management actions are also reported through the Audit Committee.

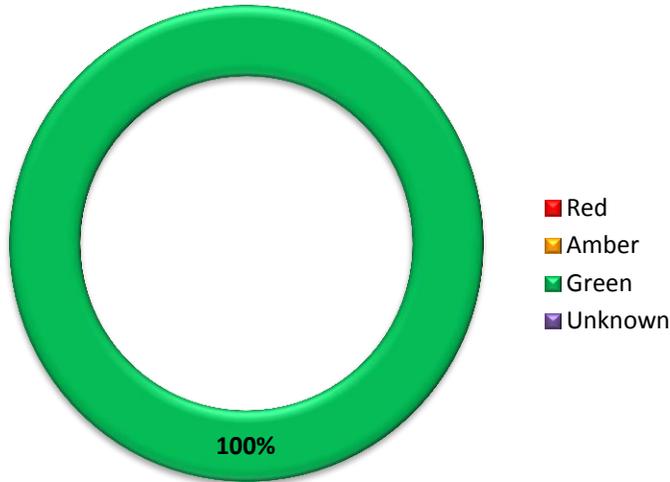
## Who Provides Your Assurance





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## Corporate Property



### Overall Assurances

Green	Amber	Red
Property Management		
Property Strategy		
County Farms		
Contract Management		

### Overall Comments

There are high levels of assurance in the four key areas of the service. The Property Services contract with VFPL is performing well with the 3 year extension awarded to March 2023. Close monitoring of reactive repairs continues due the limited budget. Similarly the Farms management contract with Savills is working well with the contract extension also awarded

Corporate Property continue to lead the Greater Lincolnshire One Public Estate programme which is working well with a strong coalition of public sector partners supported by clear governance and programme resources. The programme was featured as case study in the national OPE prospectus and is well regarded by the Cabinet Office. Asset challenge continues to identify significant collaboration opportunities with partners across Greater Lincolnshire. One of the significant achievements of the programme is the collaboration with NHS and the STP programme.

The property company business case will be reported to the Executive for approval in early 2019 and will be a subsidiary company to the LCC wholly owned company.

The blue light programme is a significant programme for the 3 blue light partners, combined facilities been opened in Sleaford with very positive feedback from operational staff. The new tri-service centre on South Park, Lincoln is well



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advanced and is due to be fully operational in September 2019. Feasibility studies are underway on a number of other co-located facilities across the County

## Management of Risk

Both the VFPL and Savills contract have clear contract governance enabling the management of risk. The VFPL contract uses the NEC form of contract which includes an early warning process requiring risk to be reported and mitigation plans discussed in clearly defined timescale. The Executive and Management Boards review risk on a regular basis. Key projects such as the blue light programme have risk registers and these are monitored through project and programme governance

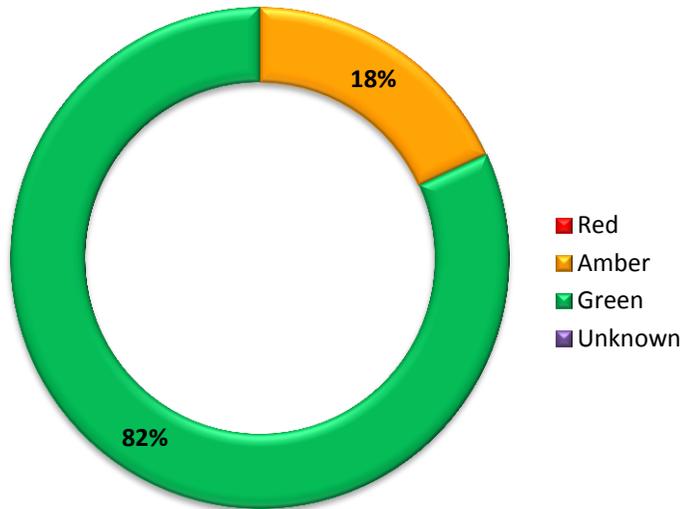
## Lower Assurances

Day to day reactive repairs where a number of factors have led to increasing costs, mitigation measures have been put in place including daily monitoring of works. The Blue light south park project remains at Amber due to budget constraints. Appropriate mitigation measures are in place through the programme governance



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## Finance & Pensions



### Green

- Bank Reconciliation
- Treasury Management
- Grant Income / Claims
- General Ledger
- Accountancy
- Serco Contract Management
- Accountancy closedown
- Agresso Systems Support
- Pension Administration
- Pension Fund

### Amber

### Red

### Overall Assurances

#### Green

- Financial Strategy
- Capital Strategy
- Budget Setting
- Budget Management
- Creditor Payments
- Debtors
- Income
- Payroll postings to ledger

#### Amber

- VAT
- Capital Programme
- Tax Compliance
- Agresso System
- Governance

#### Red

### Overall Comments

The overall assurance level has broadly remained unchanged over the last year albeit with some changes between green and amber levels for specific services or functions. Two areas (payroll ledger postings & grant income/claims) have improved from amber to green; two areas remain amber (VAT & tax compliance) and; two new amber assurance levels have emerged (capital programme & Agresso system governance). Issues related to tax matters reflect the switch of support service provider from Mouchel to Serco some 3 years ago combined with the legacy impacts of the Agresso



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implementation. Whilst Agresso is now predominately working well from the finance perspective, there is an accepted need to realign the system to deal with human resource configuration issues and the impact of this on the finance modules of the system in resourcing and functionality terms present a risk at this juncture. Finally, recent internal audit work has highlighted the need to improve transparency and general governance aspects of the capital programme which has resulted in a decline in assurance from green to amber.

## Management of Risk

The key resources of the service remain its skilled workforce and the IT systems used in delivery of the services. In terms of the workforce, well developed training plans are in place and a hierarchy of appraisals, appraisal reviews and one to one meetings are in place. These form part of the service plan for the function which includes activity related to succession planning. Additional resources for funding a number of finance apprenticeship posts have been provisionally agreed for 2019/20 which will assist with service resilience and succession planning. The departing County Finance Officer is engaging proactively with his direct reports to ensure the necessary knowledge transfer takes place. The service has business continuity plans in place for both its human and system related dependencies. The service is reliant on the skills and experience of particular individuals at all levels within the organisational hierarchy and will be vulnerable to

the loss of those key individuals should they leave the organisation. Whilst succession planning is undertaken this does not wholly mitigate such risks in the short term. Resilience of the corporate ICT framework remains a risk to the efficient and effective delivery of the service.

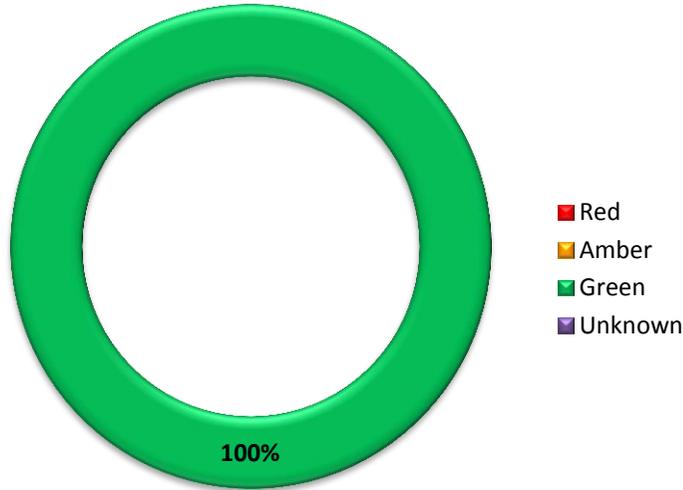
## Lower Assurances

The amber assurance areas of the capital programme and Agresso systems governance were dealt with above. Good progress has been made over the year resolving legacy VAT related issues and this service area is likely to be upgraded to green shortly. A forthcoming internal audit report on the management and oversight of tax matters in relation to employment suggests this area warrants an amber assurance level. An action plan to rectify the issues raised is under development and should be implemented within the next 6 months.



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## Audit & Risk Management



### Overall Assurances

#### Green

- Risk Management
- Insurance
- Health & Safety
- Counter Fraud
- Conduct Investigations
- Whistleblowing
- Internal Audit

#### Amber

#### Red

### Overall Comments

The Audit and Risk service continues to effectively provide support and assurance to the Council – helping it improve and deliver its objectives. We deliver our services within agreed budgets and feedback from both Senior Management and the Audit Committee shows that the results of our work are valued and acted upon.

Quality professional services is at the heart of what we do and during the year we have sought to continually improve how we deliver our services – focussing on economy, effectiveness and efficiency. A number of different ways of working have been identified by the team which we will be implementing over the next few months.

Two areas of the service have been nationally recognised for innovation and exemplar practice – in Internal Audit and Risk Management.

We currently provide performance and delivery information on audit, risk and counter fraud to the County Finance Officer and the Audit Committee. We will be providing an update on the Strategic Risk Register and Health and Safety to the Corporate Management Board in December and January 2019.



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Counter fraud and Health and Safety are being audited in January 2019 – the outcome of which should be available in February.

Our talent management strategy has been successful with the recruitment of 2 professional practice university students working in Finance and Audit and 2 apprenticeships – one new to the work place through business support and another who is gaining an accountancy qualification (AAT). We are also seeking to recruit a professional internal auditor and health and safety apprenticeship during 2019.

The Assurance Lincolnshire partnership continues to work well – we are pleased to report that Nottinghamshire County Council has joined us. This partnership shares good practice and co-ordinate work plans were appropriate.

## Management of Risk

We regularly review our risks – there are no red risks.

Our key issues that impact on delivery of our business plan objectives and the Council are:

- Improving management information over the Council's insurance fund. Minimising any surprises and helping smooth out the volatility of the fund. It is anticipated that this will be finalised in January 2019.
- IT – the service is reliant on IT. The on-going performance issues and support has had an impact on service delivery

– particularly the delay in the implementation of the new Insurance Claims system. Implementation date is now planned for February 2019.

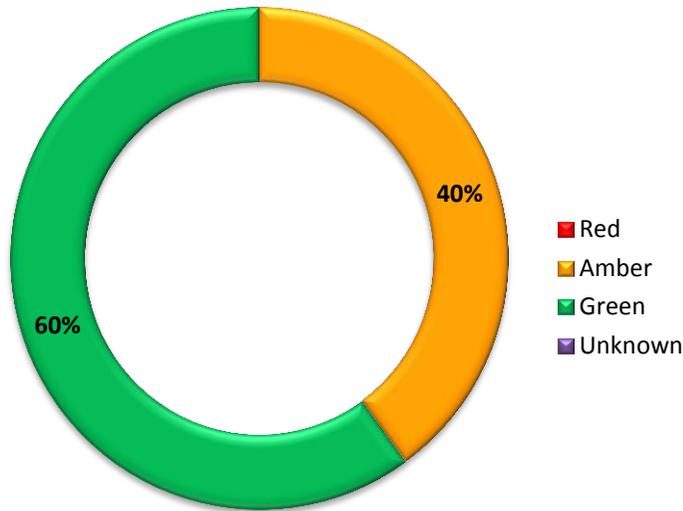
## Lower Assurances

Whilst there are no low assurance areas there have been a small number of complaints about how the Council handles its Public Liability claims for Highways (potholes). There is currently a backlog in legal services. Once the new system has been implemented we will look to review the customer experience from point of contact with customer services to the outcome of the claim process (payment or defend).



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## Fire & Rescue



### Overall Assurances

**Green**  
Planning  
Prevention  
Response

**Amber**  
Protection  
Resources

**Red**

### Overall Comments

Lincolnshire Fire and Rescue’s mission is ‘to make our communities safer, healthier and more resilient’ in order to improve wellbeing. It does this through a framework of 5 key strategies covering: planning, prevention, protection, response and resourcing. Planning, prevention and response are assessed as green with protection and resourcing assessed as amber. Notwithstanding the overall ratings, each area has been impacted by the savings that have had to be made over the last 8 years resulting in reduced capacity and resilience levels across the Service.

### Management of Risk

The Service’s Integrated Risk Management Planning (IRMP) process is the method by which it undertakes risk analysis, develops strategies and delivery mechanisms and provides assurance of activities in support of its mission. Two key planning documents form part of the IRMP process: the IRMP Baseline Document and the annual Service Plan. The former is a strategic document covering a period of at least 3 years. It identifies key community and corporate risks and outlines the strategies, as described above, for mitigating those risks. The Service Plan provides detail on how the Service delivers these strategies. A number of objectives are described within the Service Plan, as are the subordinate tasks and activities which the Service is required to undertake. Progress against each of



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the objectives is reported on a quarterly basis to the Performance Management Board.

Additional management assurance is undertaken through monthly Service Management Board meetings. These focus on strategic direction, implementation of policy and Service change and management of organisational performance.

The Service has an integrated Quality Assurance framework which provides a continual, systematic review of operational response capability. All fire stations are inspected annually as part of the Chief Fire Officer's inspection programme. Performance at incidents is regularly reviewed with key findings and learning points fed back to inform training and development priorities.

In accordance with the Fire and Rescue National Framework for England the Service produces an annual Statement of Assurance covering financial, governance and operational matters. The Statement of Assurance 2017-18 was published in November 2018 following submission to the Public Protection and Communities Scrutiny Committee.

Third party assurance is drawn from a range of sources including:

- Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS). The most recent HMICFRS inspection report was published in December 2018.

- The Local Government Association and Chief Fire Officers Association Peer Challenge. The most recent Peer Challenge was conducted in September 2017.
- Assessment of the Service's national resilience capabilities including reclassification of the UK International Search and Rescue team in May 16 and assurance of our Urban Search and Rescue team in October 2016.

## Lower Assurances

Areas of lower assurance for the Service include:

- Protection - capacity to carry out legislative risk-based inspection programme. This is being mitigated through an internal restructure and the submission of a business case to establish 2 additional inspector posts.
- Resources – inability to record training in a consistent way. A new electronic system is in the process of being implemented. This will be fully operational by July 2019.
- Resources – funding uncertainty post 2019/20 and the potential for further budget reductions/pressures.
- Resources - reduced capacity from both the centre and within the Service.



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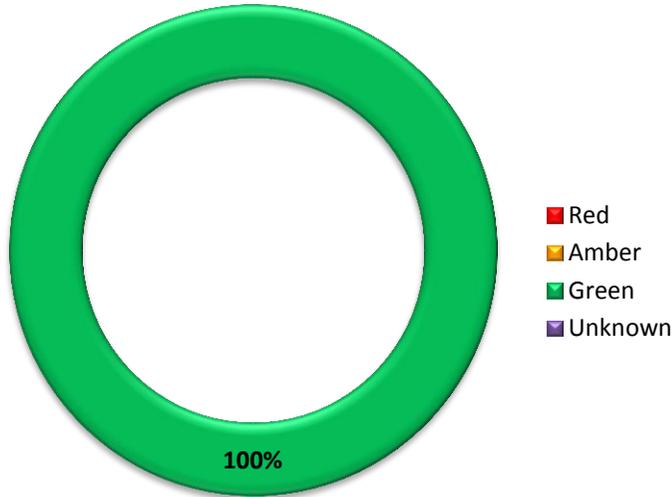
## Emergency Planning & Business Continuity

### Green

Business Continuity promotion to voluntary sector and SMEs  
Business Continuity

### Amber

### Red



### Overall Comments

The Emergency Planning and Business Continuity Service's vision is 'A Lincolnshire that is prepared for any event that can be reasonably foreseen and works together with all partners in an emergency to keep our communities safe.' Our mission is 'Keeping our communities informed, safe and resilient.'

The County Council must be able to maintain its own critical functions during any disruption to business, and has a number of lead roles and responsibilities in any civil emergency under the Civil Contingencies Act 2004. These include the welfare of victims and evacuees, provision of emergency shelter, coordination of the voluntary sector and also a community leadership role. The council would also lead on all recovery efforts.

The last twelve months has seen significant progress being made since the last combined assurance report was produced and the service are pleased to have achieved 100% assurance status. The team are now back up to full strength and have an extra part time resource funded by public health. This has allowed projects to progress as planned in the

### Overall Assurances

#### Green

Emergency Response  
Duties relating to the Civil Contingencies Act  
Emergency Planning & Business Continuity provision to Districts  
Lincolnshire Resilience Forum

#### Amber

#### Red



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service plan and given some resilience both to the duty officer system and extra support for individual pieces of work. It has also allowed the service to better understand and integrate with public health.

Over the last two months the Cabinet Office has asked all Local Resilience Forums (LRF's) to undertake two additional urgent pieces of work. The first is planning for a no deal Brexit, the second, cyber resilience planning. Lincolnshire LRF has established multi-agency working groups for both and the service are actively involved in all aspects of planning in both areas. This will in due course have an impact on normal service delivery as officers are being taken away from normal duties and we are required to provide regular updates to Cabinet Office on progress. The service is liaising with Cabinet Office, Humber and East Midlands LRF's during this process.

SLA's have been renewed with six of the seven district councils for provision of emergency planning and business continuity advice and support. A dedicated liaison officer from the service spends a day per week at each district. Individual work plans have been agreed with each authority and emergency planning and business continuity related training has been provided to local authority commanders, officers and elected members throughout the past year.

The Emergency Planning and Business Continuity Manager now provides both the Secretariat and Programme Manager

roles for the LRF. Officers provide project manager and project support officer roles. This affirms the council's commitment to the LRF and allows us to influence and shape multi agency response, training and development opportunities.

Following the LRF's command and control review, the new LRF strategic commander training package has been delivered to close to 140 strategic commanders across partner organisations through five training days.

The new strategic commander folders have been very well received and have also been entered on the national Joint Organisational Learning (JOL) platform. Cabinet Office have cited them as potential new best practice and several other LRF's have asked for details with the intention of using them in their own areas.

Tactical commander training will commence in spring 2019 due to current winter pressures preventing some LRF organisations from participating in all non-essential training events. The training package and command folders are being prepared in support and ahead of this training.

The review of LCC's business continuity management systems is still in progress and still slightly behind schedule following the staff shortages and pressure of incidents last year. Currently the focus is on LCC critical functions and all risk assessments and business impact assessments have



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been completed for these areas. New business continuity plan templates are currently being rolled out and completed by service leads and the service's emergency planning liaison officers. Next steps are to complete the corporate plan and policy and strategy documents. An exercise is being planned for early next year for the corporate business continuity group. This group has been brought together on a few occasions over the last year to co-ordinate the response to the business continuity and IT outages that the council have faced.

The County Emergency Centre (CEC) is in need of an IT and communications upgrade to meet modern requirements and resilience. Work is currently underway to identify equipment and resources that will ensure that the CEC is fit for purpose going forward. The team are still in their temporary accommodation pending the move of fire and rescue control to Nettleham joint HQ. This delay will also have an impact on the CEC upgrade project.

Objectives and tasks going forward include:

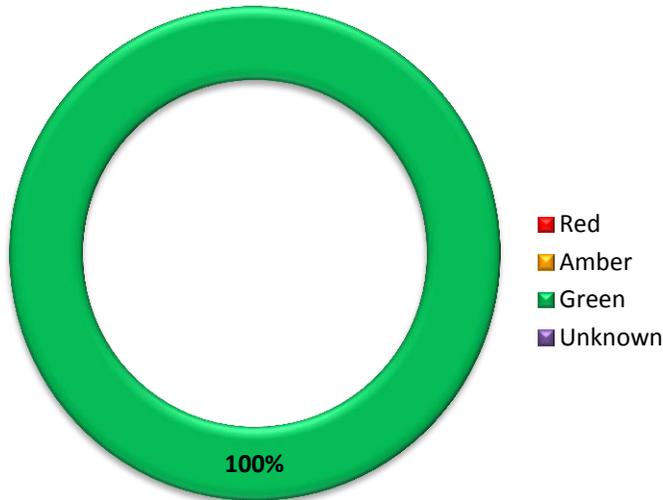
- Assessment and planning for the risk of emergencies occurring in the county.
- Support for communities to enable them to respond to emergencies.
- Provide LCC and districts with emergency planning and business continuity advice.
- Support the Lincolnshire Resilience Forum.

- Provide command training and support to LCC and districts.



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## Business Support



### Overall Assurances

#### Green

Single Point of Access  
 Child & Adult Safeguarding  
 Conferences  
 Income Management  
 Purchasing & Requisitioning  
 Audit of Customer Finances  
 Starters / Movers / Leavers

#### Amber

#### Red

### Overall Comments

Business Support provides a multi-disciplinary support service providing both front line customer facing services as well as back office activities. The service is provided across the majority of Council business areas. The service focuses on cross skilling staff to promote excellent service provision and provision of key service outcomes whilst building resilience and improving processes to develop a more efficient authority.

### Management of Risk

There are no high risk (Red) areas across Business Support.

During 2018, following the initial transfer of 0-19 Children's Health services into the Council, Business Support took have provided the Single Point of Access (SPA) for services users and professionals to contact the authority for new referrals, advice and support. During the year the service was redesigned to remove locality support to provide a corporate function from the SPA hub. Whilst this resulted in an initial loss of knowledge and skills, posts were filled prior to existing staff leaving to provide time for training and experience to be developed in this area. Processes continue to be reviewed and actions have been taken to improve service, which has resulted in targets and KPIs being consistently achieved. During 2018 a customer satisfaction survey has also been introduced to enable measurement of customer service.



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Support provision to Child Protection and Adult Safeguarding is a core function of Business Support. Work has been completed with both Adult Care and Children's Services and specialist teams are now in place to support regulated conferences and meetings to ensure core performance targets are achieved. Workflow is regularly monitored and reported on to service to provide third party assurance. Improvements are continuously made to ensure production of quality case reports and to improve statutory reporting. The resourcing of the team has been increased to meet growing demands for Adult Safeguarding, with new staff supported through a comprehensive training programme which operates across Business Support to ensure appropriate skills are in place. In 2018 the provision of support to Fostering and Adoption Panels was also moved into this team.

In terms of income management (Imprest and cash handling) all staff complete extensive training to ensure they are fully compliant with the Business World processes. The Business Support management team work closely with finance and audit to ensure income collection is compliant, in particular within areas of high income collection. Income audits are undertaken by managers and reported. In addition, Team Leaders are required to complete monthly audit returns to confirm Imprest accounts have been reconciled.

Business Support provides local financial support functions including requisitioning, recoding of invoices and payment

requests all processed within Business World. All staff undertake specific training prior to access being granted to the system. Business World reports provide regular data to managers highlighting where peaks in transactions exist within the system, or where transactions are outside of LCC performance timescales. Managers use these reports to address performance, compliance issues or to instigate reallocation of tasks in order to meet the deadlines. It is not anticipated there will a significant impact on financial support compliance through the impending upgrade to Business World.

The Business Support Customer Finance Team continued to focus on the audit and verification of financial assessments, personal budgets and direct payments in recovering overpaid or unused monies from service users. The team has been further strengthened through increased resource which has been funded by Adult Care enabling significant values to be recovered back into the Council. Ongoing skills development and management of performance means this team is consistently exceeding key performance indicators, which is reported to Adult Care and Community Safety DMT.

During 2018 a concern was raised with regards to the quality of starters, movers and leavers forms which was having an impact on payroll services through Serco. To address this Business Support established a data validation team to provide a specialist support service to managers and to quality



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assure all forms that are sent to Serco in respect of these personnel changes. Data on errors, missing information and late submission of forms is reported monthly to People Management and DMTs to drive up the quality of information across the Council.

## Lower Assurances

In 2019 the national Blue Badge system is being scaled back by the Department of Transport to provide a basic service only to produce badges. During 2018 a decision was made to procure a short term contract for Northgate to provide a CRM solution which would streamline processes and create efficiencies. Implementation of this new system is due in January 2019 and although planning and testing work has been completed by the provider and the users there is a potential risk that the system may not provide the full functionality of the current system, which may result in delay in the production of badges. Back up plans to manually process and produce badges has been put in place to address this.

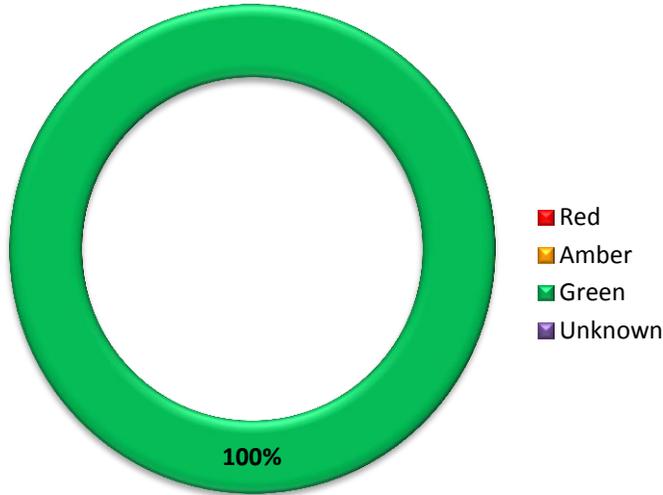
As a key supporter of Apprenticeships, Business Support provides an Employer Provider Centre for Level 2 and 3 in Business Administration. To complete training learners need to be able to demonstrate their 20% 'off the job' learning and ensure their qualification is completed within the required timescales. There is a risk if they do not do so, they could fail the qualification and a significant number of withdrawals or

failures could trigger an early inspection from Ofsted. Actions have been put in place to ensure management oversight of learners is undertaken with trainers and line managers to ensure timely completion in accordance with the required frameworks.



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## Safer Communities



### Overall Assurances

#### Green

Commissioned Services & Contract Management  
 Trading Standards  
 Domestic Homicide Reviews  
 Community Safety

#### Amber

#### Red

### Overall Comments

Safer Communities covers two key service areas Trading Standards and Community Safety. For the first time since 2011 all services are shown as green. During 2018 a lot of work has been put into the recommissioning of services for adult and child victims of domestic abuse. This was done with wide input from across LCC including adults and children. The new services went live in August 2018. April 2018 saw the implementation of revised arrangements for the countywide community safety partnership, now known as the Safer Lincolnshire Partnership (SLP). The new arrangements include more focused priorities and a rationalised structure to reflect the available resources from partners.

### Management of Risk

A risk register is maintained by the service, a separate register is kept on behalf of the SLP. The recommissioning of DA victim services was managed through a programme board which was well supported by commercial and commissioning colleagues. This board will be maintained to ensure a joined up approach to domestic abuse across LCC. The risks around enforcement activity are managed through referencing various statutory guidance such as the Code for Prosecutors, seeking relevant legal advice and a formal sign off procedure. This is essential as the cases now being investigated, often involve complex frauds, organised criminality or impacts on serious injury or death.



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## Lower Assurances

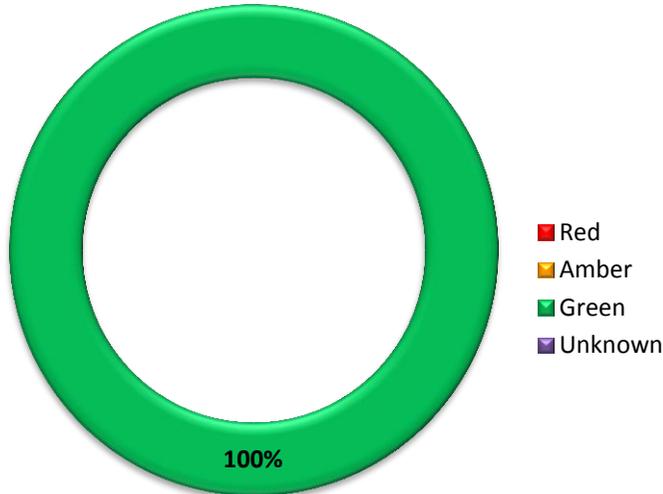
Although key services have been assigned green ratings there are a number of projects that are designated as amber, such as the Safer Together project which looks to formalise and develop collaborative working arrangements with the police. The risks of this project are mitigated by the support from a project manager who is engaging with lead advisors in HR, legal and property and the maintenance of a risk register.

Brexit-at the time of writing the impacts of the form and impact of exiting the EU are unknown. Whatever form this takes it will involve changes to the regulatory framework and possibly involve greater duties for local services. The risks are managed through our membership of the Chartered Institute of Trading Standards who have provided impact analysis for both central and local government.



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## Registration, Celebratory & Coroner's Services



### Overall Assurances

**Green**  
Registration & Celebratory Services  
Coroner's Service

**Amber**   **Red**

### Overall Comments

Customer satisfaction within the Registration Service continues to be very high as highlighted in the annual customer survey with the responses rated as Excellent, Very Good and Satisfactory at 100% for the second year running. 96.2% rating the service as Very Good or Excellent. In addition the service retained the Government's standards in Customer Service Excellence although the report did note with disappointment the continuing lack of credit/debit card payment facilities. The service has met its statutory responsibilities evidenced by the submission of the Annual Performance Report to the General Register Office.

The Coroner's Service has developed significantly over the last 12 month on its continuing route to transformation. The caseload appears to have reduced slightly and stabilised after significantly higher volumes in 2015, 2016 and 2017.

### Management of Risk

A comprehensive Risk Register and Business Continuity Plan are maintained and reviewed regularly for both service areas. Individual risk registers are prepared for new projects as appropriate seeking guidance from subject specialists e.g. data protection colleagues and procurement colleagues. Within the Coroner's Service changes to process and procedure continue to be adopted which have improved timescales for bereaved families.



# Combined Assurance Status Report

Coronial contracts are managed to reduce risks and are supported by positive and constructive working relationships and regular contract meetings.

The increasing complexity of the law in relation to interpretation of both existing and historic legislation to meet the needs of an ever diverse society will continue to provide potential challenge to both the Registration Service and Coroners. There is the increasing threat of judicial review recognising the status and decision making of Coroner as an independent judicial office holder and registration officers as statutory officers in law.

Effective and comprehensive training for all involved in the service will be essential and will require further development for the Coroners Service.

## **Lower Assurances**

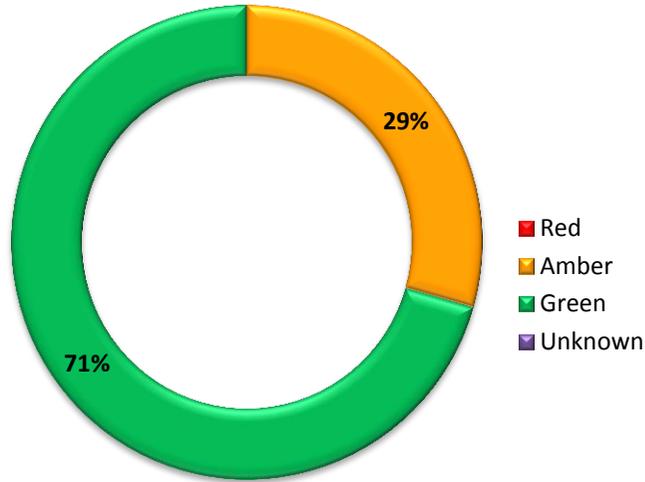
Coroner's Service – Since August 2017 the merger of the two existing Coroner Areas into one combined area has provided greater opportunities to improve service provision streamline processes and reduce costs. This will be monitored continually to evidence and document improvements and financial savings and will be supported by a new IT platform and case management system in September 2018.

Financial risk management in relation to Long Inquest payments have reduced significantly and will be alleviated with the appointment of the new Senior Coroner.



# Combined Assurance Status Report

## Key Projects



Green	Amber	Red
Fire Appliance replacement		
Replacement of BA equipment	Development of Zipporah & on-line payment	
Replacement of Mobile Data Terminals		
IT & Communications for the CEC		
Command & Control Review & training		
Multi Agency approach to Fraud		
Tobacco Control		
European Settlement Applications		

## Overall Assurances

Green	Amber	Red
Holding Company / Property Company	Blue Light Programme / South Park Blue Light Campus	
Corporate Landlord	Rebuild of Business World ERP system	
Pension Fund Asset Pooling	Future Control Project	
Implementation of WPF insurance system (MIMS replacement)	Safer Together	

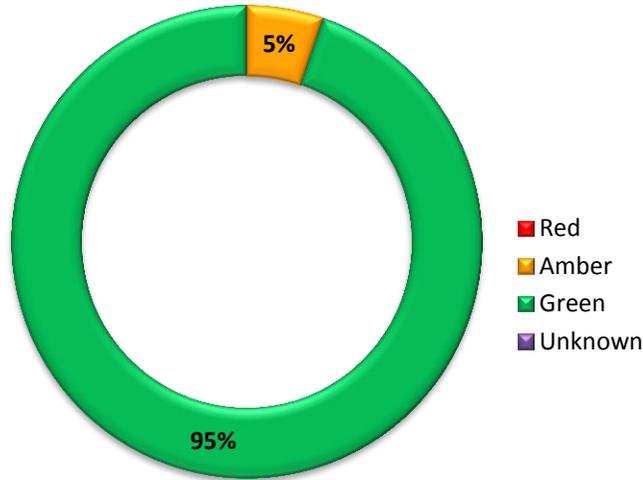
## Overall Comments & Management of Risk

A number of key projects are in progress to support service development. The majority have assurance rated as Green. Five projects are classified as Amber at this stage. These will continue to be actively managed and monitored until completed.



# Combined Assurance Status Report

## Key Partnerships



Green	Amber	Red
EMAS & LIVES Co-responder / Joint Ambulance Conveyance		
Arson task Force		
Blue Light Collaboration		
Primary Authority Schemes		
Safer Lincolnshire Partnership		
Lincolnshire Road Safety Partnership		
Lincolnshire Police		
Trading Standards East Midlands		
Office of the Police & Crime Commissioner		
GRO		
UK Visa & Immigration Service		

## Overall Assurances

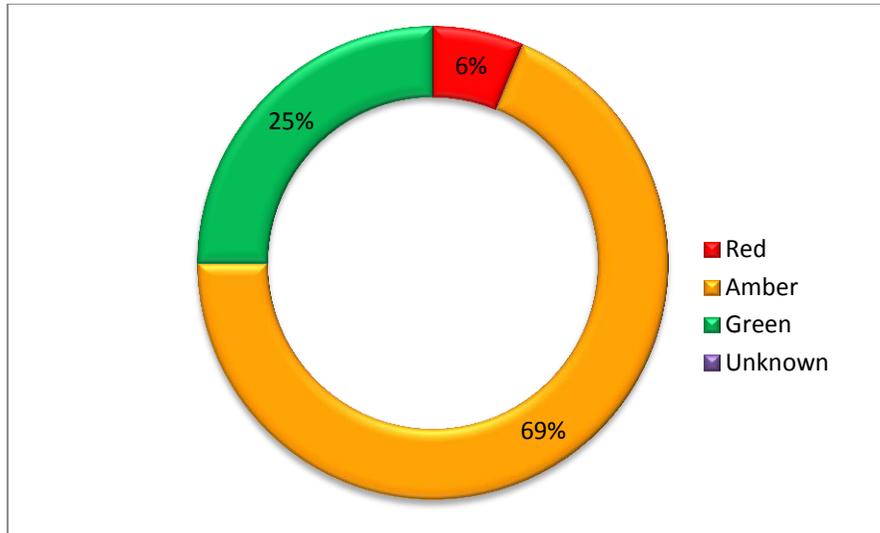
Green	Amber	Red
Greater Lincolnshire One Public Estate	EMAS / Police (with Coroner's Service)	
Border to Coast Pension Partnership		
City of Bradford Metropolitan Council (WYPF)		
Assurance Lincolnshire		
Lincolnshire Resilience Forum		
Lincolnshire District Councils		

## Overall Comments & Management of Risk

Key partnerships identified by service managers are generally working well with positive assurance. A new Senior Coroner for Lincolnshire means establishing new relationships and the opportunity for improved ways of working with both EMAS and the Police for the Coroner's service.



## Key Risks



## Budget - LCC

The Directorate has identified their most significant 'tactical' risks:

- Resilience (Business Continuity) has been assessed within the overall strategic risk register to have a substantial assurance against a substantial level of risk. All business continuity plans have or are being updated in 2018/19. The key risk area where further work is required relates to IT infrastructure and systems resilience, which are outside this Directorate's areas of responsibility.
- Lack of knowledge, skills & retention of experienced staff. This is being addressed through a succession planning / appointment process to replace those retiring or in late 2018 and in 2019.
- Insufficient budget to meet future service levels / service demands. To address this a provisional budget for 2019/20 has been published for consultation and will be finalised in February 2019. A further comprehensive, zero based budget review will be completed by Summer 2019 to address the budget challenges for the period after March 2020. By Summer 2019 there may also be further clarity regarding a number of significant national funding issues – the next Spending Review, The Green Paper on future

## Strategic Risks

**Council's highest rated Strategic Risks for this area of the business**

## Resilience (Business Continuity)



# Combined Assurance Status Report

funding of Adult Social Care and the Fair Funding /  
Business Rates retention Reviews.

## Operational Risks

The Directorate has no Red Operational Risks.

## Emerging Risks

Only one Red risk is reported – the potential impact of Brexit on Pension Fund investments. This reflects the status in the Pension Fund Risk Register and has ongoing monitoring by the Pension Board & Committee.



# Combined Assurance Status Report

Strategic Risk Register  
Version: 1.2  
Reviewed: January 2019 (links to Commissioning Strategies January 2015)  
Owner: Chief Executive

No of Risk	Risk Owner	Risk description	Risk Appetite (How much risk are we prepared to take & the total impact of risk we are prepared to accept)	Current risk score	Target risk score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
3	Pete Moore	<b>Resilience (Business Continuity)</b> Capacity and resilience to respond to, and recover from, wider area and prolonged emergencies and business disruption (e.g. coastal flooding / pandemic flu) impacting on public safety, continuity of critical functions and normal service delivery.	<b>Mature (Projects &amp; major change - need to be innovative and take higher risks for greater reward - higher levels of devolved authority)</b> <b>Creative &amp; Aware (Partnerships - Recognised that we work differently with different partners)</b>			Substantial	Improving	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>Investing in protection and vulnerability reduction (e.g. Boston Barrier) - this refers to the flooding part of the risk</li> <li>Commissioning through effective partnership working (e.g. LRF, LHRP and FR &amp; DM)</li> <li>Flood risk drainage management strategy - this refers to the flooding part of the risk - Now with strategic and operational group.</li> <li>Implementation of Senior Management Command arrangements: <ul style="list-style-type: none"> <li>The strategic and tactical commanders are now on call.</li> <li>New training for tactical commanders has been developed and implemented with a hand out provided for emergency situations</li> </ul> </li> <li>Maintaining organisational / operational competencies (training &amp; exercising) in key roles and functions of command outside our control, multi-agency co-ordination and business recover</li> <li>Training and exercise of people in roles of command, business recovery and multi-agency co-ordination including Cygnus. Elected members are now trained in responses to emergency situations by BC &amp; EP.</li> <li>Reviewing our preparedness in the event of an emergency, working with partners - looking at joint arrangements with the districts for the LRF and looking at a deal about mutual aid around the region.</li> <li>BC and EP team are now at full capacity with the addition of a Health EP officer. Retaining sufficient capacity to meet our duties (and fulfil our local authority / FRS roles and responsibilities) as a category 1 responder (under the Civil Contingencies Act)</li> <li>A corporate business continuity group has been established and used. They meet twice a year to share information and review preparedness.</li> <li>There is a mutual aid capacity within Lincolnshire and its districts with the other councils around Lincolnshire.</li> <li>Working directly with services to develop service BC plans</li> <li>Review outstanding issues from recent audit report</li> <li>Ensure plans are in place. Three year audit plans built into team members objectives to review every three years.</li> <li>The command and control audit is complete</li> <li>Lincolnshire Resilience Forum has a Business Continuity IT Security group. It is used for information sharing, identifying critical suppliers and other subjects within the IT area.</li> </ul> <p><b>New / Developing Control</b></p> <ul style="list-style-type: none"> <li>Redesigning 3 year programme - reflect and review impacts of organisational change - near completion</li> <li>Policy and strategy documents are to be reviewed next.</li> <li>Exercises are being undertaken to test / train critical services</li> <li>New Comms plan - in progress - The draft communications plan is available and will be finalised in the near future. This will include a text messaging system.</li> </ul>
7	Pete Moore	<b>Budget - LCC</b> Funding and maintaining financial resilience	<b>Creative &amp; Aware (Finance &amp; money - No surprises - prepared to invest for reward and minimise the possibility of financial loss by well measured risk taking - allocating resources in order to capitalise on potential opportunities)</b>			Substantial	Static	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>Sound process on trying to protect where funding is going supported by Medium Term Financial Strategy</li> <li>Good financial management with monitoring arrangements in place</li> <li>Accountability framework</li> <li>Council Priority Activities agreed &amp; delivery of major projects managed / monitored.</li> <li>Close working with DC's on funding arrangements</li> <li>Medium term financial plan for next 3 years updated as part of budget process</li> <li>Financial Volatility Reserves available to support budget as required</li> <li>Reviewed Financial Strategy</li> <li>Quality impact assessment on Council Tax increase</li> <li>Building flexibility to deal with in-year changes</li> <li>Capital Programme/Asset Sales Review and approval of newer capital strategy</li> <li>Use of capital receipts to part fund revenue budget</li> <li>A provisional budget for 2019/20 has been published for consultation and will be finalised in February 2019. A further comprehensive, zero budget review will be undertaken by Summer 2019 to address the budget challenges for the period after March 2020. By Summer 2019 there may also be further clarity regarding a number of significant national funding issues - the next Spending Review, the Green Paper on future funding for Adult Social Care and Fair Funding / Business Rates Retention Review.</li> </ul>